

MEMORANDUM

TO: Housing Opportunity Grant Program Applicants

FROM: Sarah Phillips, Chief Administrator, Vermont State Office of Economic Opportunity

DATE: April 5, 2016

SUBJECT: Housing Opportunity Grant Program (FFY 2016 / SFY 2017)

The Housing Opportunity Grant Program (HOP) is administered by the State Office of Economic Opportunity (OEO) and blends federal and state funding to help nonprofit organizations, including community and faith-based organizations, operate within local Continua of Care to provide emergency and day shelter; provide transitional housing where appropriate; offer essential services to shelter residents; rapidly re-house homeless families and individuals in permanent housing; and prevent individuals and families experiencing housing crisis from becoming homeless.

Changes to this Request for Proposals are generally not major, but include the following:

- OEO has a new mailing address and is now physically located in Waterbury (pg. 5)
- Eligible Program Components (pg. 7-9):
 - Incorporates proposals for use of General Assistance (GA) to decrease reliance on motels through community-based alternatives, with a particular focus on new crisis bed capacity.
 - Includes a more detailed description of Landlord Liaison work as part of Innovation.
- Budget (pg. 24-26):
 - Clarifies that costs for administration costs may be based on a de minimus 10% rate or an approved federal indirect cost rate.
 - Explicitly includes demonstration of leveraged funds as a selection criteria.
- Attachments (pg. 27):
 - Certificate of Government Approval required for all facility-based projects (i.e., shelters), not just new projects.
 - Written Standards for Homelessness Prevention and Rapid Re-Housing need to be attached to the application, not just on file at the organization.
- Appendices (pg. 29-48):
 - Updated State Attachment C.
 - Updated HUD income limits for 30% AMI.

Enclosed you will find the Notice and Application for Vermont's State Fiscal Year '17 Housing Opportunity Grant Program (HOP):

- I. Notice & Overview of Housing Opportunity Grant Program
- II. Application, with Appendices
- III. Standard AHS Grant and Contract Provisions for information purposes only (Attachments C & F)

Funding is available in state fiscal year 2017 (July 1, 2016 – June 30, 2017).

PLEASE REVIEW ALL MATERIALS CAREFULLY.

Webinar Announcement: The Office of Economic Opportunity will host a webinar on Monday, April 11th, 1:00 – 2:00pm to review the Housing Opportunity Grant Program Notice and Application for funding. The webinar will be recorded and archived.

To attend by web, register here:

<https://attendee.gotowebinar.com/register/2269049325742472962>

APPLICATIONS ARE DUE NO LATER THAN 4:00 PM ON MAY 18, 2016.

Department for Children and Families, OFFICE OF ECONOMIC OPPORTUNITY HOUSING OPPORTUNITY GRANT PROGRAM (FFY 2016 / SFY 2017)

SECTION 1: NOTICE AND OVERVIEW

HOUSING OPPORTUNITY GRANT PROGRAM (HOP) OBJECTIVES

The Housing Opportunity Grant Program (HOP) provides funding to: operate emergency overnight and day shelter; provide essential services to shelter residents; provide transitional housing where appropriate; rapidly re-house homeless individuals and families; prevent individuals and families experiencing a housing crisis from becoming homeless; implement coordinated entry to streamline client access to resources; and administer programs and the Homeless Management Information System (HMIS).

The Housing Opportunity Grant Program operates within the [Opening Doors, Federal Strategic Plan to Prevent and End Homelessness](#) and the [Vermont Plan to End Homelessness](#). The primary goals of the Housing Opportunity Grant Program are to:

- 1) Decrease the number of individuals and families experiencing homelessness;
- 2) Shorten the length of time people experience homelessness;
- 3) Reduce the number of individuals and families returning to homelessness; and
- 4) Prevent people from becoming homeless.

A guiding principle of the Housing Opportunity Grant Program is to tie homeless assistance activities to permanent housing through systems, practices, and initiatives that are informed by data and proven approaches. While the program will continue to address the needs of homeless people in emergency or transitional shelters, the focus is to assist people to quickly regain stability in permanent housing after experiencing a housing crisis or homelessness.¹

AMOUNT AND SOURCE OF FUNDS

Grants will be awarded by the State Office of Economic Opportunity to Vermont municipalities or, with municipal approval, non-profits whose purpose it is to assist people experiencing homelessness or persons at risk of becoming homeless.

After reserving **\$47,734** (HUD) for state administrative costs, the State will award **\$588,716** in federal Emergency Solutions Grant funds from the Department of Housing and Urban Development (HUD), **\$3,848,000** from the General State Fund (GSF) appropriation, and **\$202,488** in Global Commitment funds for a total of **\$4,639,204** available for eligible entities and activities under the **Housing Opportunity Grant Program**. The availability of these funds is contingent on final award notification from HUD and final appropriation by the State legislature.

As outlined in the Vermont Consolidated Plan, federal funding will be targeted to support emergency shelter, HMIS, and rapid re-housing activities. All federal and match funded programs will be subject to federal regulations under [24 CFR part 576](#).

¹ HUD HEARTH Emergency Solutions Grants Program, Interim Regulation, <https://www.hudexchange.info/resource/1927/hearth-esg-program-and-consolidated-plan-conforming-amendments/>

APPLICANT ELIGIBILITY REQUIREMENTS

To be eligible an applicant must:

- Be a municipality or a private non-profit organization with municipal approval. Faith-based non-profit organizations are eligible and should review requirements in Section E, Attachments.
- All emergency shelter applicants must have resolved any outstanding issues from past shelter habitability inspections.
- Any subrecipient of federal funding must be current with their annual filing to the [State of Vermont Department of Finance & Management](#).
- All applications for facility-based projects (i.e., shelters) must submit a Certification of Local Government Approval with their application (Appendix F).
- **Organizational Conflict of Interest:** No grantee may, with respect to individuals or families occupying housing owned by the grantee, subsidiary or parent organization, determine eligibility, carryout assessment, or administer homelessness prevention assistance.

APPLICATION & SUBMISSION INFORMATION

1) Content and Form

Proposals should follow the outline in the APPLICATION section below. All proposals must include the following, in the order shown:

- A) Cover Sheet
- B) Background (New Applicants Only)²
- C) Program Narrative
- D) Budget & Justification
- E) Attachments – please review carefully

Proposals should be in 12 pt. font, with a header that includes page number and applicant name. There are no page limitations.

SIMPLIFIED RENEWAL APPLICATION GUIDELINES: Applicants seeking renewal funding for a program previously funded under HOP may submit only Sections A (Cover Sheet), D (Budget & Justification), and E (Attachments) if:

- The request for funding is the same as the previous year's HOP award to the organization; **and**
- There are no substantial changes to the program plan as submitted the previous year; **and**
- The grantee has met HOP performance targets and all reporting requirements in content, timing and completeness during SFY 2016.

It is strongly suggested that you confirm eligibility to submit a renewal application under these simplified terms with the Office of Economic Opportunity prior to your submission.

² New Applicants are those not previously direct recipients of HOP funds.

2) Submission Process

Applicants are encouraged to submit their proposal electronically by sending a PDF document to kristin.lyons@vermont.gov. Applicants submitting their proposal by mail should send one original application to:

State Office of Economic Opportunity
ATTN: Housing Opportunity Grant Program
280 State Drive, HC 1 North
Waterbury, Vt. 05671-1050

PLEASE NOTE NEW ADDRESS

Applications will NOT be accepted by facsimile or hand delivery.

Applications are due no later than 4:00 P.M. May 18, 2016.

All questions should be directed to Emily Higgins, (802) 798-2251 or emily.higgins@vermont.gov

APPLICATION TIMELINE

- Notice of Funding Opportunity released: April 5, 2016
- Webinar Overview of Notice: April 11, 2016, 1:00 – 2:00 PM

Register to Attend Here:

<https://global.gotowebinar.com/ojoin/2269049325742472962/2498573459604158981>

This webinar will be recorded and archived for later viewing.

- Applications due no later than 4:00 PM, May 18, 2016
- Award Notifications as close to June 1 as possible
- Program Start Date: July 1, 2016
- Program Period: July 1, 2016 – June 30, 2017

The Office of Economic Opportunity reserves the right to negotiate terms of the grant agreement with prospective grantees prior to grant execution. This may include refinement of the program outcomes, services provided and costs covered under the grant agreement.

OBLIGATION OF FUNDS

Obligation of the funds must occur within 120 days from the date that the grant funds are made available. Funds not expended by the completion date may be recaptured and reallocated to other HOP grantees.

SELECTION PROCESS

All applications will be evaluated by the Office of Economic Opportunity based on local need, capacity of applicant, approach and local coordination. Part of the selection process may involve a site visit of the finalists at which time documentation listed in the application may be reviewed. Both the proposals – and ultimately each program funded – will be evaluated based on a demonstrated ability to:

- 1) Meet the criteria as outlined in this Notice of Funding.
- 2) Previous program performance under HOP program performance measures.
- 3) The applicant's history of providing effective shelter or services to the homeless.
- 4) Address an identified homeless need or gap in the district and effectively collaborate with Continuum of Care partners to improve outcomes for the homeless and those at-risk of homelessness.
- 5) Demonstrate leveraged funding to support the proposed program.
- 6) For emergency shelter applicants, ensure the continued availability of clean and safe emergency shelter.
- 7) Support the rapid transition of participants from homelessness or emergency shelter to permanent housing. Shorten the length of time people experience homelessness.
- 8) Prevent homelessness for people experiencing housing crisis through targeted, coordinated and effective prevention and diversion activities.
- 9) Provide appropriate follow-up to support stability and measure outcomes. Reduce the number of individuals and families returning to homelessness.
- 10) Promptly provide appropriate services to households requiring them.
- 11) Support education, training and employment activities for clients, and help participants to access other appropriate community services and mainstream benefits and support services (including medical care, mental health and substance abuse treatment, counseling, supervision, and other services essential for achieving independent living).
- 12) The applicant's engagement of homeless individuals and families in the governance or operation of programming and services, to the maximum extent practicable.
- 13) Responsibly manage public funds and reporting expectations required under a grant agreement with the State of Vermont.
- 14) Proposals to create new community-based alternatives to the General Assistance (GA) program (and thus funded by GA) will decrease reliance on motels.

Actual funding will be based on the following:

- Requested amount (total request and spending plan)
- Available funds
- Strength of application in demonstrating application criteria are met

Grantees who meet performance targets and all reporting requirements in content, timing and completeness will be eligible for streamlined renewal of funding in SFY 2018, contingent on the State and Federal funding availability and the submission and approval of a shortened renewal application.

HOUSING OPPORTUNITY GRANT PROGRAM ELIGIBLE PROGRAM COMPONENTS

Please see the chart below for additional information on participant eligibility and eligible activities under each component.

All applicants are strongly encouraged to review the US Interagency Council's [Family Connections](#) framework recently endorsed by the State of Vermont as part of a [statewide initiative](#) to end family homelessness by 2020: <http://usich.gov/population/families/family-connection>

PLEASE NOTE, COMMUNITY ALTERNATIVES to GENERAL ASSISTANCE (GA):

Last year, the Department for Children and Families invited letters of interest from community organizations to create community-based alternatives to General Assistance (GA) motels. Eleven new projects were funded by General Assistance. A summary can be found here:

<http://legislature.vermont.gov/assets/Legislative-Reports/2016.03.15-GA-H.611-Report.pdf>

Additional proposals for new community-based crisis bed capacity or delivery models are invited through the attached HOP application. Applicants must demonstrate a reduction in reliance on motels, while providing better access to services. Applicants should use the cover page and narrative to fully delineate new projects. New project proposals will be considered for General Assistance funding by the Department for Children & Families Housing Team. The DCF Housing Team has a particular interest in seeing proposals that address the needs of those served by the GA program because they are fleeing Domestic or Sexual Violence and those served by the GA program in the Rutland District. In addition, we anticipate releasing year-to-date unduplicated data on GA motel utilization in mid-April to support proposal development.

- 1) **EMERGENCY SHELTER:** Emergency Shelter means any facility, the primary purpose of which is to provide a temporary shelter for people experiencing homelessness in general or for a specific population of people experiencing homelessness, **AND** which does not require occupants to sign leases or occupancy agreements. This includes temporary seasonal/warming shelters and day shelters.
 - A) **Essential Services** for homeless individuals and families in emergency shelter or publicly funded motels.
 - B) **Shelter Operations.** Where there is no appropriate emergency shelter available for a homeless family or individual, eligible costs may also include a hotel or motel voucher for that family or individual.
- 2) **RAPID RE-HOUSING:** Rapid Re-Housing Services may be used to help individuals or families living in shelters, publicly-funded motels, or places not meant for human habitation, to move as quickly as possible into permanent housing and achieve stability in that housing. Eligible Rapid Re-Housing activities may include **Housing Relocation and Stabilization Services** (including short-term financial assistance) and/or **Rental Assistance for up to 24 months** (including rental arrears).

For general information on approaches to rapid re-housing, please review:

http://usich.gov/usich_resources/solutions/explore/rapid_re_housing

<http://www.endhomelessness.org/pages/rapid-re-housing>

- 3) **HOMELESSNESS PREVENTION:** Homelessness Prevention Services may be used to prevent an

individual or family that is experiencing a housing crisis from becoming homeless (including avoiding moving into emergency shelter, the streets, a publicly funded motel, or a place not meant for human habitation) or to help an individual or family regain stability in current housing or other permanent housing. Eligible Homelessness Prevention activities may include **Housing Relocation and Stabilization Services** (including short-term financial assistance) and/or **Rental Assistance for up to 24 months** (including rental arrears).

For general information on approaches to homelessness prevention, please review:

http://usich.gov/usich_resources/solutions/explore/homelessness_prevention

4) TRANSITIONAL HOUSING: Transitional Housing refers to time-limited housing leased or owned by the grantee, where participants are not tenants but instead are enrolled in a program designated for serving the homeless in general or for a specific population of people experiencing homelessness. The Housing Opportunity Grant Program focuses on the use of evidence-informed models and approaches like using rapid re-housing, to help people quickly reconnect to permanent housing. Some models of short (< 3 months) or long-term (up to 24 months) transitional housing may also facilitate connecting people to permanent housing effectively and efficiently. HOP-funded Transitional Housing will be limited to programs that meet one of the following criteria:

- Primarily function as short-term or crisis housing, for example using a scattered-site housing approach or a transition-in-place model. Models should be designed as low barrier and will be prioritized in communities with limited to no existing Emergency Shelter capacity; OR
- Designed as long-term, congregate programs, but only for certain high need or subpopulations where it has been shown to be an effective practice such as youth or survivors of domestic violence; OR
- Previously-funded HOP programs that have a record of strong results.

In all cases, people living in transitional housing are still considered homeless and programs must be designed with a strong pathway to permanent housing. Funds can be used for **Essential Services** and/or **Operations**.

For general information on transitional housing: <http://usich.gov/population/families/role-of-long-term-congregate-transitional-housing-in-ending-homelessness>

5) COORDINATED ENTRY: Coordinated Entry centers on streamlining access to homeless assistance services (such as prevention, rapid re-housing, shelter, and permanent supportive housing), screening applicants for eligibility for these and other programs using a consistent and well-coordinated approach, and assessing their needs to determine which interventions are the best fit. Coordinated Entry is implemented at a Continuum-wide level (vs. a program or organization level), and is based on the processes adopted by either the Chittenden Homeless Alliance or the Vermont Coalition to End Homelessness. By streamlining access to the homeless services system, households facing housing loss will be able to quickly access the services they need and for which they are eligible without having to call multiple social service programs.

Grantees may use Coordinated Entry funds to support coordinated intake, assessment or referral activities as part of the Coordinated Entry process implemented or piloted by the Continuum of Care.

For general information on coordinated entry, please review:

http://usich.gov/usich_resources/solutions/explore/coordinated_entry

<https://www.hudexchange.info/resource/4427/coordinated-entry-policy-brief/>

In Vermont, <http://helpingtohousevt.org/initiatives/coordinated-entry/>

6) INNOVATION FUNDS: Grantees may apply for funds to support activities that clearly work to meet the Housing Opportunity Grant Program goals and serve individuals and/or families that meet the definitions of at risk of homelessness or homeless, but are not an allowable activity as outlined in this section or the chart below. Examples include: landlord risk pool, credit building or matched savings, or other financial assistance. To be considered, projects must be based on a documented community need, strong theory of change, and promising or evidence-informed practices.

- a. **LANDLORD LIAISON** – A Landlord Liaison is a dedicated staff person who works with property owners and managers to create housing opportunities for people who are homeless or at-risk of homelessness. Core components of a Landlord Liaison project include outreach, recruitment, mediation of conflicts, incentives for landlords such as risk pools, and support to ensure strong relationships. Last year, three sites received HOP funds to pilot landlord liaison work.

For general information on approaches to landlord outreach and liaison projects, please review:

<http://portal.hud.gov/hudportal/documents/huddoc?id=Landlord-Resource.pdf>

<http://www.landlordliaisonproject.org/>

For general information on solutions to ending homelessness, please review:

http://usich.gov/usich_resources/solutions/

- 7) HMIS:** Grantee may use HOP funds to pay the costs of contributing data to the HMIS designated by the Continuum of Care (Service Point). Or, in the case of victim service providers, this may include the costs of a comparable database (e.g., Osnum). Eligible costs include: software licenses of HMIS participation fees; technical support or training; salaries for administering HMIS.
- 8) ADMINISTRATION:** Grantee may use HOP funds to pay for the costs of administering the program, even if these costs are not otherwise directly attributable to a program component listed above. This might include supervision of employees, financial management, etc. If an organization has a federally approved indirect cost rate consistent with OMB guidance, these costs may be allocated to eligible activities. Alternatively, grantees may use a de minimus indirect rate of 10% of the total program budget. In no cases may administration exceed 10% of the overall grant award, including all indirect costs.

	EMERGENCY SHELTER	RAPID RE-HOUSING	HOMELESSNESS PREVENTION	TRANSITIONAL HOUSING	INNOVATION FUNDS
ELIGIBILITY	<p>Individuals and Families defined as Homeless under the following categories:</p> <ul style="list-style-type: none"> Category 1 - Literally Homeless Category 2 - Imminent Risk of Homeless Category 3 - Homeless Under Other Federal Statutes Category 4 - Fleeing/Attempting to Flee DV 	<p>Individuals and Families defined as Homeless under the following categories:</p> <ul style="list-style-type: none"> Category 1 - Literally Homeless Category 4 - Fleeing/Attempting to Flee DV (where criteria is also met for Category 1) 	<p>Individuals and Families defined as Homeless under the following categories:</p> <ul style="list-style-type: none"> Category 2 - Imminent Risk of Homeless Category 3 - Homeless Under Other Statute Category 4 - Fleeing/Attempting to Flee DV <p>Individuals and Families who are defined as At Risk of Homelessness</p> <p>In addition, all individuals and families must have an annual income below 30% AMI (Up to 10% of households assisted may be up to 50% AMI)</p>	<p>Individuals and Families defined as Homeless under the following categories:</p> <ul style="list-style-type: none"> Category 1 - Literally Homeless Category 2 - Imminent Risk of Homeless Category 3 - Homeless Under Other Federal Statutes Category 4 - Fleeing/Attempting to Flee DV 	<p>Individuals and Families defined as Homeless under categories 1-4</p> <p>Individuals and Families who are defined as At Risk of Homelessness</p> <p>No Income Requirement.</p>
ACTIVITIES	<p>ESSENTIAL SERVICES³</p> <ul style="list-style-type: none"> Case Management Onsite childcare Education Services (incl consumer ed, ESL, health, substance abuse prevention, literacy, GED, etc) Employment assistance Outpatient health services Legal services Life skills training (incl conflict resolution, financial or household management, parenting, food/nutrition, etc) Mental health services Substance abuse services Transportation Services for special populations (HIV/AIDS, DV, youth) 	<p>HOUSING RELOCATION & STABILIZATION SERVICES</p> <p>Services (before and/or after financial assistance, also services only)</p> <ul style="list-style-type: none"> Housing Search and Placement Housing Stability Case Management Landlord-Tenant Mediation Follow-up or Supportive Services to Help Maintain Housing Money Management/Credit Repair <p>Financial Assistance:</p> <ul style="list-style-type: none"> Security Deposits Utility Payments and Deposits Moving & Storage Costs Last Month's Rent 		<p>ESSENTIAL SERVICES⁴</p> <ul style="list-style-type: none"> Case Management Onsite childcare Education Services (incl consumer ed, ESL, health, substance abuse prevention, literacy, GED, etc) Employment assistance Outpatient health services Legal services Life skills training (incl conflict resolution, financial or household management, parenting, food/nutrition, etc) Mental health services Substance abuse services Transportation Services for special populations (HIV/AIDS, DV, youth) 	<p>Based on:</p> <ul style="list-style-type: none"> documented community need strong theory of change promising or evidence-informed practices <p>Examples include:</p> <ul style="list-style-type: none"> landlord incentives, such as risk pool or loans/grants for repairs credit building accounts/loans for clients matched savings accounts, or seed funds for savings/bank account other financial assistance for clients
	<p>SHELTER OPERATIONS</p> <p>Maintenance (incl routine repairs), Rent, Security, Fuel, Utilities, Equipment, Insurance, Food, Furnishings, Supplies necessary for shelter operation</p> <p>Where no appropriate emergency shelter available:</p> <ul style="list-style-type: none"> Hotel or Motel voucher 	<p>SHORT & MEDIUM TERM RENTAL ASSISTANCE</p> <p>Short Term:</p> <ul style="list-style-type: none"> Tenant-based rental assistance for up to 3 months of rent and/or one-time payment of rental arrears not to exceed the value of 3 months' rent. <p>Medium Term</p> <ul style="list-style-type: none"> 4 – 24 months of tenant-based rental assistance 		<p>OPERATIONS</p> <p>Maintenance (incl routine repairs), Rent, Security, Fuel, Utilities, Equipment, Insurance, Food, Furnishings, Supplies necessary for shelter operation</p>	

³ Funds can only be used for emergency or outpatient health services, mental health services, legal services and substance abuse treatment to the extent that other services are unavailable or inaccessible within the community.

⁴ Same as above.

Housing Opportunity Grant Program funding may NOT be used for any of the following:

- Property Acquisition, new construction or mortgage costs;
- Staffing costs (except as noted above).

See APPENDIX E. Standards for Provision of Assistance for additional limitations and requirements.

FUNDING PRIORITIES

Vermont has chosen to target federal funding towards Emergency Shelter, Rapid Re-housing and HMIS. Preserving existing emergency shelter capacity is a high priority for funding. As permanent housing strategies, Rapid Re-housing and Homelessness Prevention are also high funding priorities. Other requests will be considered. Funding priorities were based in part on strong feedback received through OEO's 2016 survey of stakeholders. For more information, see Vermont's Consolidated Plan:

http://accd.vermont.gov/strong_communities/housing/planning/consolidated_plan

REPORTING & RECORDKEEPING REQUIREMENTS

- Quarterly Reports: Grantees will submit quarterly program reports to the Office of Economic Opportunity due: October 15, January 15, April 15 and July 15. These consist of a summary of demographic information, shelter utilization, and performance outcomes tailored to the HOP activity for which they are funded (*see below*).
- Final Report: The final report (due July 15) should also include a financial accounting of the expenditure of funds and a narrative covering activity during the grant year.
- Financial Reports: All cash requests must be accompanied by a financial accounting of expenditures.
- One Night Shelter Report: Grantees are required to participate in a one-night shelter count conducted in the fall. The date of the count will be determined by the Office of Economic Opportunity.
- Point-in-Time Count: Grantees are required to participate in the annual Point-in-Time Count conducted by the Continuum of Care as required by HUD. The date of the count will be determined by HUD (anticipated late January).
- HMIS: Grantees receiving federal HUD, or match funds, and all new projects, are required to participate in the Homeless Management Information System (HMIS) designated by their Continuum of Care (e.g., ServicePoint). Programs serving victims of domestic and sexual violence are exempt from this requirement under the Federal Violence Against Women Act (VAWA), but are required to maintain a separate comparable database (§576.400f). All new projects are required to participate in the HMIS.
- Participant Eligibility: Grantees are required to document eligibility as part of an intake process. These records and associated documentation may be kept virtually (e.g., HMIS) and/or in hard copy form.

- Financial Records: Grantees are required to maintain complete financial records of all HOP-funded activity, including invoices, receipts, and payroll records. Grantees may be required to produce these by the OEO, HUD, or Agency of Human Services at any time in connection with documentation of a disbursement request, program monitoring, or financial auditing.
- General Recordkeeping: See Appendix H for general recordkeeping requirements.
- Continuum of Care Reporting: Grantees will be required to report no less than twice per year to their local Continuum of Care on the outcomes achieved by the HOP-funded program(s). Grantees may use their HOP quarterly reports or a separate template approved by OEO.

PERFORMANCE MEASURES

Grantee's individual performance measures will be structured around one or more of the following indicators and tailored to the specific category of HOP funding awarded. For Coordinated Entry, HMIS and Innovation Funds, performance measures will be negotiated.

1) Preventing Homelessness

*The number of households at risk of homelessness assisted, the percentage whose housing is stabilized within 28 days (target 70%) **AND** the percentage of these households who remain stably housed for at least 90 days following the intervention (target 70%).*

2) Connecting Homeless Households with Essential Services

The percentage of homeless households in emergency shelter, transitional housing, or publicly-funded motels who meet with a case manager or program equivalent within 3 days of referral (target 90%).

3) Increasing Income and Access to Mainstream Benefits for Homeless Households

The number of homeless households receiving case management and:

*the percentage who subsequently attain employment **OR** are enrolled in an educational or training program, **OR** qualify for cash or non-cash benefits (e.g., Reach-Up, SSI, General Assistance, VA, 3SquaresVt, etc.) within 90 days of referral (target 70%);*

*the percentage who subsequently are stabilized in transitional or permanent housing within 90 days (target: 70%) **AND** the percentage of these formerly homeless households who continue to be stably housed for at least 90 days (target 70%).*

4) Rapidly Re-Housing Homeless Families and Individuals / Retention of Housing

*The number of homeless households assisted, the percentage re-housed in permanent housing within 28 days (target: 70%), **AND** the percentage of these formerly homeless households who continue to be stably housed for at least 90 days (target 70%).*

For those served by Transitional Housing:

*At least 70% of households exiting the program will exit to permanent housing; **AND** 70% of these formerly homeless households who continue to be stably housed for at least 90 days.*

For Youth Programs:

*At least 70% of youth exiting the program will have “safe exits” as defined by one of the following categories: College, Friends, Home with Family, Independent Living, Job Corps, Military, Relative’s Home, or Residential Treatment/Rehab. **AND** At least 70% of the above youth with a safe exit, will continue to be stably housed for at least 90 days.*

Department for Children and Families
OFFICE OF ECONOMIC OPPORTUNITY
HOUSING OPPORTUNITY GRANT PROGRAM
SECTION II: APPLICATION

A) COVER SHEET

Include a Cover Sheet with the following (# and label):

- 1) Applicant Name, Address, Telephone
- 2) DUNS # (if applicable)
- 3) Fiscal Agent Name and Address (if applicable)

If using a Fiscal Agent, please attach signed written agreement between applicant and fiscal agent.

- 4) Contact Person, Telephone and Email
- 5) For Shelters:
 - a. Name of Shelter and Shelter Address (if applicable)
 - b. Shelter Contact Person, Telephone & Email
- 6) The request for funding will support the following emergency shelter or transitional housing capacity:

	YEAR ROUND EXISTING	YEAR ROUND NEW (Proposed)	SEASONAL EXISTING	SEASONAL NEW (Proposed)
# of emergency shelter beds:				
# of emergency shelter rooms or units:				
# of transitional housing rooms:				

- 7) Projected number of people served during grant period:

Total Persons _____

Individuals (Singles, Unaccompanied Youth, Couples without Children) _____

Families with Children _____

- 8) Local Continuum(s) of Care & Agency of Human Services (AHS) District(s)

- 9) Total Housing Opportunity Grant Request _____

a. Total General Assistance request (included in the above total) _____

To the best of my knowledge and belief, information on all forms in this application is true and correct, and the application has been duly authorized by the governing body of the applicant.

Authorized Signature

Date

Printed Name/Title

B) BACKGROUND NARRATIVE

(NEW APPLICANTS ONLY, i.e., those not previously direct recipients of HOP funds)

- 1) General Background: Provide the following background information on your organization: brief history, structure of organization, board members, staffing, affiliations and activities. Make clear how housing programming or services aligns with mission of the organization.
- 2) Management Experience & Capacity: Describe past experience and current capacity of the applicant to manage comparable state or federal grant programs in terms of scale/scope, in terms of program and financial management.
- 3) Housing Program Experience: Briefly describe the experience of the organization in providing housing or services (e.g., emergency shelter, transitional housing, outreach, homelessness prevention, rapid re-housing, case management or service coordination, etc.) and/or other relevant experience working with target population.
- 4) Demonstrated Results: Use data from past performance to demonstrate the applicant's ability to reduce the incidence or duration of homelessness in your local Continuum of Care; prevent homelessness or re-house the homeless; provide effective housing stability case management services; and/or connect homeless clients with mainstream benefits.

C) PROGRAM NARRATIVE (please use the following outline; please cross-reference when appropriate)

- 1) Program Summary: Briefly describe how funds will be utilized and for whom the program is designed to serve. Be specific beyond the basic eligibility criteria provided (i.e., identify any subpopulations, families with children, etc.)
- 2) Relevant Program Experience: Does your organization have previous experience in providing the housing or services described above?

___Yes

___No

If no, please briefly describe the organization's relevant experience and expertise that qualify it to operate the proposed program. (NEW APPLICANTS PLEASE SKIP)

- 3) Program Results: Provide data that demonstrates results your homeless assistance program has achieved in the past year. Use past HOP performance data or other relevant data. If helpful, provide any analysis or explanation. Include participant stories only if used to provide a deeper understanding of results data provided (not required). (NEW APPLICANTS PLEASE SKIP)

- 4) Local Coordination/Continuum of Care:
- a) Describe your organization's role and participation in your local Continuum of Care. Be specific. Is this an established or new role?
 - b) Evidence the need for the assistance and its position within the local Continuum of Care. Will funding preserve existing community resources or will it provide new or expanded shelter or services? Describe how the proposed activities fill a gap or address a priority of the Continuum.
 - c) What other agencies in your Continuum provide similar services to those for which you are applying?
- 5) Mainstream Resources: Describe the plan for connecting clients with mainstream benefits (e.g., Medicaid, 3SquaresVt, Reach Up, WIC, SSDI/SSI, VA, unemployment insurance, etc.) and services such as medical/mental health treatment, counseling, workforce development/job training, child care, financial empowerment and other services needed to achieve independent living.
- 6) Homeless Education Connection (if applicable): If the program serves school-aged children, describe your organization's relationship with the Homeless Education Liaison(s) to identify children in their districts who are eligible for homeless education program resources, maximize and coordinate these resources, and support continuity in education whenever possible. For more information, please review: <http://education.vermont.gov/homeless-children-and-youth>
- 7) Participation in HMIS or Comparable System: Does or will the program use the HMIS selected by the continua of care (*ServicePoint*) to record information on all persons served and all activities assisted under HOP (excluding victim service providers)? If not, describe the system used to record information on persons served and activities assisted.
- 8) Homeless Participation: Describe how, to the maximum extent practicable, the grantee will involve, through employment, volunteer services, or otherwise, homeless individuals and families in operating or providing shelter and/or services.

EMERGENCY SHELTER APPLICANTS ONLY (QUESTIONS 9 – 13)

includes day shelters and warming/seasonal shelters

- 9) Intake & Admission: Provide the shelter hours and intake hours (if different). Does the program use a first come, first serve admission policy or does it restrict eligibility or prioritize admission (beyond homeless eligibility)? If yes, please describe how eligibility or prioritization is determined.
- 10) Assessment: Describe the assessment process used to determine a) immediate needs of the individual or family, and b) the amount and type of assistance and support that the individual or family needs to regain stability in permanent housing.
- 11) Program Volunteers: Does the program use volunteers? If yes, in what capacity? Describe how volunteers are recruited, trained and supervised.
- 12) Where Essential Services Funding will be used for *services other than case management or staff*, describe how funds will be utilized to connect homeless individuals and families to critical services needed to achieve self-sufficiency and permanent housing.
- 13) If funding will be used for Case Management: ***Please see Appendix E, Standards for Provision of Assistance, for clarification on the definition of “Case Management”***
- a) Describe, in detail, the model or approach that will be used, including estimated caseloads; qualifications or training of housing support workers/case managers; the assessment process and development of written housing plans/personal goals; and the plan for connecting clients with mainstream benefits and services. Describe how this approach will specifically address barriers to obtaining and maintaining housing.
 - b) Describe the level of aftercare case management to be provided once families and individuals are in permanent housing.
 - c) Identify how case management leads, coordinators or teams will be established; and how this activity will be coordinated with other local providers in the AHS District or local Continuum of Care. How will communication ensure that supports are integrated? Be sure to include plans for coordination with Reach Up and Family Services case management staff.

HOMELESSNESS PREVENTION AND RAPID RE-HOUSING APPLICANTS ONLY (QUESTIONS 14 – 17)

Please review Appendix E, Standards for Provision of Assistance to understand basic program requirements. Programs are encouraged to review Appendix D, Best Practices in Rapid Re-Housing, and the core components of Rapid Rehousing endorsed by HUD, USICH and the National Alliance to End Homelessness: <http://www.endhomelessness.org/library/entry/rapid-re-housing2>. These core components must be clearly reflected in any Rapid Re-housing scope of work in order to receive funding.

- 14) Intake and Screening: Does the program use a first come, first serve admission policy or does it restrict eligibility or prioritize admission (beyond definitions of homeless or at risk of homelessness)? If yes, please describe how eligibility or prioritization is determined. How will prevention assistance be targeted to effectively prevent homelessness (e.g., diversion from shelter)? Note any screening or assessment tools used to determine eligibility or prioritization.
- 15) Assessment: Describe the assessment process used to determine the amount and type of assistance and support that the individual or family needs to regain stability in permanent housing.
- 16) Model or Approach to Providing Housing Relocation and Stabilization Services:

What is the overall estimated client-load at any point in time?

What is the anticipated duration (how long) and level (how often) of services?

Rapid Re-housing Programs must incorporate all of the following activities. Please provide a description of the proposed activities.

- ☐ Housing Search & Placement, including Landlord Recruitment (Letters of Support from Private or Nonprofit Landlords are strongly encouraged)
- ☐ Landlord-Tenant Mediation
- ☐ Credit Repair/Money Management⁵
- ☐ Tenant Education⁶
- ☐ Housing Stability Case Management – This includes follow-up, housing-based or post-lease supportive services to help maintain housing. ***Please see Appendix E, Standards for Provision of Assistance, for clarification on “Housing Stability Case Management”***
 - a) Describe the model or approach that will be used, including estimated caseloads; qualifications or training of housing support workers/case managers; any additional assessment and development of written housing plans/personal goals; and the level of post-lease case management to be provided.

³ Where programs do not have an established program in place, OEO encourages partnership with the Champlain Valley Office of Economic Opportunity's RentRight program developed by Vermont Tenants, which incorporates financial and tenant education.
http://www.cvoeo.org/index.cfm?fuseaction=dep_menu&menu_id=5132&dept_id=15

⁴ Same as above.

- b) Identify how case management leads, coordinators or teams will be established; and how this activity will be coordinated with other local providers in the AHS District or local Continuum of Care. How will communication ensure that supports are integrated? Be sure to include plans for coordination with Reach Up and Family Services case management staff.

17) Financial & Rental Assistance: Please check all that apply.

- ☐ Financial Assistance (security deposits, utility deposits/payments, last month's rent, moving costs)
- ☐ Rental Arrears, up to 3 months
- ☐ Short Term Rental Assistance, up to 3 months
- ☐ Medium Term Rental Assistance, up to 24 months

Describe the process for decision making when financial or rental assistance is requested. How will decisions be made regarding the type and level of direct assistance? Are there any standards on the amount of rent that participants are required to contribute? How will gaps and duplication be avoided? How will assistance be coordinated with other resources locally such as the Vermont Rental Subsidy, Mental Health Subsidy + Care Vouchers, Shelter + Care vouchers, family reunification vouchers, etc.? What is the role of the local housing review team in this process (if any)?

TRANSITIONAL HOUSING APPLICANTS ONLY (QUESTIONS 18 – 22)

- 18) Model & Approach: Describe the transitional housing program design, including target population and intended length of stay. If transitional housing will be used for emergency or crisis bed capacity (i.e., short-term), describe how it will be quickly accessed by people experiencing homelessness and coordinated with other emergency shelter capacity (including publicly-funded motel stays). If a long-term transitional housing model, clearly outline the reasoning for the approach, and cite relevant, successful examples of the proposed model. In both cases (short and long-term), make clear why households would be better served by transitional housing than by rental assistance paired with post-lease supportive services. In all cases, outline specific ways that the proposed program will create effective pathways to permanent housing for households served.

- 19) Intake & Admission: Does the program use a first come, first serve admission policy or does it restrict eligibility or prioritize admission (beyond homelessness)? If yes, please describe how eligibility or prioritization is determined.

- 20) Assessment: Describe the assessment process used to determine a) immediate needs of the individual or family, and b) the amount and type of assistance and support that the individual or family needs to regain stability in permanent housing.

- 21) Where Essential Services Funding will be used for *services other than case management or staff*, describe how funds will be utilized to connect homeless individuals and families to critical services needed to achieve self-sufficiency and permanent housing.
- 22) If funding will be used for Case Management: ***Please see Appendix E, Standards for Provision of Assistance, for clarification on the definition of “Case Management”***
- d) Describe, in detail, the model or approach that will be used, including estimated caseloads; qualifications or training of housing support workers/case managers; the assessment process and development of written housing plans/personal goals; and the plan for connecting clients with mainstream benefits and services. Describe how this approach will specifically address barriers to obtaining and maintaining housing.
 - e) Describe the level of aftercare case management to be provided once families and individuals are in permanent housing.
 - f) Identify how case management leads, coordinators or teams will be established; and how this activity will be coordinated with other local providers in the AHS District or local Continuum of Care. How will communication ensure that supports are integrated? Be sure to include plans for coordination with Reach Up eligibility and case management staff.

COORDINATED ENTRY APPLICANTS ONLY (QUESTIONS 23 – 25)

- 23) Staff Positions: Describe the staffing structure and position(s) to be funded by HOP. Is this a new position? How will staff be supervised?
- 24) Continuum of Care Accountability: Describe how the Local Continuum of Care will provide ongoing review of the effectiveness of the Coordinated Entry Process. For example, how will the CoC be able to address issues or make changes to the process during implementation?
- 25) Results: How will your organization know that it has implemented Coordinated Entry processes effectively and efficiently? Propose one or more performance measures that might be tied to a new HOP grant, if awarded.

INNOVATION APPLICANTS ONLY (QUESTIONS 26 - 30)

- 26) Model & Approach: how funds will be used to compliment or enhance one or more of the strategies outlined above. Clearly outline how this project will specifically contribute to HOP objectives (page 2). Cite existing models or research that support this approach (if applicable). In all cases, outline specific ways that the proposed project will support effective pathways to permanent housing for households served.

27) Intake & Admission, Assessment: Describe who is eligible for assistance and the process for intake and enrollment, including any assessment process or tool.

28) If funding will be used for Case Management:

- g) Describe, in detail, the model or approach that will be used, including estimated caseloads; qualifications or training of housing support workers/case managers; the assessment process and development of written housing plans/personal goals; and the plan for connecting clients with mainstream benefits and services. Describe how this approach will specifically address barriers to obtaining and maintaining housing.
- h) Identify how case management leads, coordinators or teams will be established; and how this activity will be coordinated with other local providers in the AHS District or local Continuum of Care. How will communication ensure that supports are integrated? Be sure to include plans for coordination with Reach Up eligibility and case management staff.

29) Additional Discussion (optional): Provide any additional information needed to understand the proposed activities or project to be funded as “Innovation”.

30) Results: How will your organization know that it has implemented the Innovation project effectively and efficiently? Propose one or more performance measures that might be tied to a new HOP grant, if awarded.

D) BUDGET & JUSTIFICATION

Please present budget information in the following format.

Budget Category/Item	Housing Opportunity Grant Program (HOP) Request		C. Leveraged Funds (including all other sources of funding – private, public, cash and in-kind/volunteer)	Total Program Budget (A+B+C)
	A. Proposal for GA-funded community-based alternatives to Motels	B. All Other Housing Opportunity Grant Program (HOP) Request		
1) Emergency Shelter				
a) Essential Services				
b) Shelter Operations				
2) Rapid Re-Housing				
a) Housing Relocation & Stabilization Services				
i. Services				
ii. Client Financial Assistance				
b) Rental Assistance				
3) Homelessness Prevention				
a) Housing Relocation & Stabilization Services				
i. Services				
ii. Client Financial Assistance				
b) Rental Assistance				
4) Transitional Housing				
a) Essential Services				
b) Operations				
5) Coordinated Entry				
6) Innovation				
7) HMIS				
8) Administration (do <i>not</i> include indirect costs allocated to the appropriate activities above)				
TOTAL:				

DOUBLE CHECK ALL MATH.

Please a budget justification for each category of funding requested. A budget justification should include the basis or methods for costs, allowing their review to determine whether costs are allowable, reasonable and appropriate. DOUBLE CHECK ALL MATH.

For ALL Salaries include the following for each Staff Position:

Position Title, Brief Description of Responsibilities, Show Calculation for \$ Request, including: Total Hours/Week, Total Weeks/Year, Hourly Wage, Fringe Rate, and Indirect Costs (if applicable).

Provide a Brief Description of Responsibilities of Each Position or Attach Position Description(s).

For Essential Services Funding:

In addition to salary and staff position information, include additional costs such as contracted services, staff mileage, etc. Provide a basis for the amount included.

For Emergency Shelter or Transitional Housing Operations Funding:

Requests for operations funding must include a list of items for which the grantee is requesting funding (i.e., rent, electricity, insurance, fuel, cleaning, rubbish/snow removal, maintenance/minor repairs, etc). If not evident, provide a basis for the amount included. If the organization operates more than one shelter facility or transitional housing program, be clear with program titles and addresses which facilities are being included in the request.

If funds will support a facility, does the shelter facility also provide shelter or beds for individuals and families that do NOT meet the definition of homeless (*Appendix A*) – such as offenders on furlough through the Department of Corrections? If so, how many beds or units does the facility have in total and how many are set aside for DOC clients or other non-homeless clients? Be sure to provide a total shelter operations budget. Include any additional information or basis for determining the HOP request for shelter operations funding.

Are residents/participants expected to pay any fees or “rent” in exchange for shelter or transitional housing? OEO strongly discourages program fees or rent in exchange for emergency shelter; required saving of income may be appropriate if returned to guests upon exit. Any interest earned from client savings held in escrow should be returned to the client. (If “No”, you do not need to answer the following questions.)

- 1) How much money are individual residents/participants expected to pay for shelter or housing?
- 2) How much money did the program take in during state fiscal year '16 from these types of fees/rent?
- 3) What was this money used to pay for?
- 4) What amount was returned to residents upon completion of the program?
- 5) Provide any other details you think will be helpful to the State Office of Economic Opportunity in understanding this arrangement.

For Homelessness Prevention/Rapid Re-Housing Funding

In addition to salary and staff position information, include the total amount for client financial assistance (security deposits, last month's rent, utility deposits and payments, moving costs) and any rental assistance (rental arrears, short-term, or medium-term rental assistance). Provide a basis for the amount included – such as the average amount anticipated/household and the anticipated number of households served.

Please review *Appendix E: Standards for Provision of Assistance* to note eligible costs and limitations on financial and rental assistance. Note: All payments must be vendor payments.

For Coordinated Entry Funding

Provide salary and staff position information as requested above.

For Innovation Funding

Provide a clear basis for the amount; include line item detail such as salaries, client financial assistance, contracts, etc.

For HMIS Funding

In addition to salary and staff position information, provide a clear basis for the hours included. Include a list of other items for which the grantee is requesting funding (e.g., HMIS licensing, technical support or training; etc.). Provide a clear basis for the amounts included.

Is the organization a new HMIS user? If not, how have HMIS costs been paid for previously and why are funds needed now to support HMIS participation?

For Administration

NOTE: Grantees may use a federally approved indirect cost rate or a de minimus indirect rate of 10% of the total program budget. In no cases may administration exceed 10% of the overall grant award. Funds may be used to supervise employees, financial management, etc. No justification is required. Please complete the following:

Subtotal Indirect Costs Included Above: \$_____

Or De Minimus 10% of Base Budget (Base Budget Request x .10): \$_____

Total HOP Grant Request: \$_____

Administration % of Total Grant _____%

E) ATTACHMENTS

1) ORGANIZATION AND PROGRAM BUDGET (required)

Attach the current organization budget. Multi-service organizations should also provide a department or program budget (current and/or projected). Please note all additional funding sources and amounts (anticipated and secured) for your housing program such as: Reach-Up, HUD Continuum of Care, HUD Housing Counseling, Dept. of Corrections, Private Donations, etc.

2) CERTIFICATE OF PROOF OF INSURANCE (required)

Attach certificates of insurance. Minimum coverage limits are given in the attached standard Vermont and AHS provisions for grants and contracts (**See ATTACHMENT C**). This includes: Workers Compensation, General Liability & Property Damage, Automotive Liability

3) LETTERS OF SUPPORT

New projects are strongly encouraged to include a letter of support from the local Continuum of Care. Applicants for Coordinated Entry must include a letter of support from their Continuum of Care. Other letters of support may be included to demonstrate key partnerships that are essential to the proposed scope of work, such as letters from landlords to demonstrate Rapid Re-housing partnerships or Vermont Tenants to provide RentRight tenant education curricula. If using a fiscal agent, attach a signed written agreement. Letters of support should be specific to the proposal, reference the scope of work proposed, the HOP request amount, and ways the author intends to support or partner with the applicant.

4) CERTIFICATE OF LOCAL GOVERNMENT APPROVAL, included here as *Appendix F*

5) SIGNED ASSURANCES (required), please sign the form provided in Appendix G.

6) WRITTEN STANDARDS (see Appendix E for details)

a. For Emergency Shelter and Transitional Housing Requests:

Attach written standards (e.g., policies and procedures) that address shelter admission (including waiting lists, if applicable), diversion, referrals, discharge, and termination of shelter/services.

b. For Homelessness Prevention and Rapid Re-Housing Requests:

Attach written standards (e.g., policies and procedures) that address how the program will:

- Determine and prioritize which eligible families and individuals will receive homelessness prevention and rapid re-housing assistance;
- Determine what percentage, or amount, of rent and utilities costs each program participant must pay, if any, while receiving prevention or rapid re-housing assistance;
- Determine how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time.

7) For Faith-based or Religious Organizations, Buildings, Programs or Activities:

Eligibility for funding requires that services and assistance (at your facility or as part of the funded program) are carried out in a manner which neither advances nor inhibits religion. Please answer the following questions with those criteria in mind:

- Is the shelter or housing facility owned by a "primarily religious organization?"
- Describe all activities, services, or other benefits offered by the shelter which reflect a religious orientation and which will be funded wholly, or in part, by the HOP funds.
- Attach the shelter's Articles and By-Laws if these documents reflect a religious orientation in its activities or purpose. (Only required for new applicants or those that have updated by-laws since a previous HOP application).

WE RESERVE THE RIGHT TO REQUEST FURTHER INFORMATION.

APPENDIX A. DEFINITION OF HOMELESSNESS

Published by HUD - November 15, 2011; Adopted by the Vermont Agency of Human Services

CRITERIA FOR DEFINING HOMELESSNESS	Category 1	Literally Homeless	<p>(1) Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:</p> <ul style="list-style-type: none"> (i) Has a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground; (ii) Is living in supervised publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state, or local government programs for low-income individuals); OR (iii) Is exiting an institution where (s)he resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution.
	Category 2	Imminent Risk of Homelessness	<p>(2) Individual or family who will imminently lose their primary nighttime residence, provided that:</p> <ul style="list-style-type: none"> (i) Residence will be lost within 14 days of the date of application for homeless assistance; (ii) No subsequent residence has been identified; AND (iii) The individual or family lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, needed to obtain other permanent housing.
	Category 3	Homeless under other Federal statutes	<p>(3) Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who:</p> <ul style="list-style-type: none"> (i) Are defined as homeless under the Runaway and Homeless Youth Act (42 U.S.C. 5732a, section 387), the Head Start Act (42 U.S.C. 9832, section 637), the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2, section 41403), the Public Health Service Act (42 U.S.C. 254b(h), section 330(h)), the Food and Nutrition Act of 2008 (7 U.S.C. 2012, section 3), the Child Nutrition Act of 1966 (42 U.S.C. 1786(b), section 17(b)) or McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a, section 725); (ii) Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the date of application for homeless assistance; (iii) Have experienced persistent instability as measured by two moves or more during the preceding 60-days; AND (iv) Can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental health conditions, substance addiction, histories of domestic violence or childhood abuse (including neglect), the presence of a child or youth with a disability, or two or more barriers to employment, which include the lack of a high school degree or GED, illiteracy, low English proficiency, a history of incarceration or detention for criminal activity, and a history of unstable employment.
	Category 4	Fleeing/ Attempting to Flee Domestic Violence	<p>(4) Any individual or family who:</p> <ul style="list-style-type: none"> (i) Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence; (ii) Has no other residence; AND (iii) Lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, to obtain other permanent housing.

APPENDIX B. DEFINITION of “AT RISK OF HOMELESSNESS”

HUD Interim ESG Regulation – Congruent with definition adopted by Vermont Agency of Human Services

CRITERIA FOR DEFINING AT RISK OF HOMELESSNESS	Category 1	Individuals and Families	<p>An individual or family who:</p> <ul style="list-style-type: none"> (i) Has an annual income below 30% of median family income for the county; <u>AND</u> (ii) Does not have sufficient resources or support networks immediately available to prevent them from moving to an emergency shelter or another place defined in Category 1 of the “homeless” definition; <u>AND</u> (iii) Meets one of the following conditions: <ul style="list-style-type: none"> (A) Has moved because of economic reasons 2 or more times during the 60 days immediately preceding the application for assistance; <u>OR</u> (B) Is living in the home of another because of economic hardship; <u>OR</u> (C) Has been notified that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance; <u>OR</u> (D) Lives in a hotel or motel and the cost is not paid for by charitable organizations or by Federal, State, or local government programs for low-income individuals; <u>OR</u> (E) Lives in an SRO or efficiency apartment unit in which there reside more than 2 persons or lives in a larger housing unit in which there reside more than one and a half persons per room; <u>OR</u> (F) Is exiting a publicly funded institution or system of care.
	Category 2	Unaccompanied Children and Youth	A child or youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under another Federal statute.
	Category 3	Families with Children and Youth	A child or youth who does not qualify as homeless under the homeless definition, but qualifies as homeless under section 725(2) of the McKinney-Vento Homeless Assistance Act, and the parent(s) or guardian(s) or that child or youth if living with him or her.

APPENDIX C. 30% MEDIAN FAMILY INCOME BY COUNTY (HUD, FFY 2016)

County	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Chittenden	\$17,650	\$20,200	\$22,700	\$25,200	\$27,250	\$29,250	\$31,250	\$33,300
Addison	\$14,950	\$17,050	\$19,200	\$21,300	\$23,050	\$24,750	\$26,450	\$28,150
Bennington	\$13,550	\$15,450	\$17,400	\$19,300	\$20,850	\$22,400	\$23,950	\$25,500
Caledonia	\$13,550	\$15,450	\$17,400	\$19,300	\$20,850	\$22,400	\$23,950	\$25,500
Essex	\$13,550	\$15,450	\$17,400	\$19,300	\$20,850	\$22,400	\$23,950	\$25,500
Lamoille	\$13,900	\$15,900	\$17,900	\$19,850	\$21,450	\$23,050	\$24,650	\$26,250
Orange	\$13,650	\$15,600	\$17,550	\$19,450	\$21,050	\$22,600	\$24,150	\$25,700
Orleans	\$13,550	\$15,450	\$17,400	\$19,300	\$20,850	\$22,400	\$23,950	\$25,500
Rutland	\$13,550	\$15,450	\$17,400	\$19,300	\$20,850	\$22,400	\$23,950	\$25,500
Washington	\$15,250	\$17,400	\$19,600	\$21,750	\$23,500	\$25,250	\$27,000	\$28,750
Windham	\$13,700	\$15,650	\$17,600	\$19,550	\$21,150	\$22,700	\$24,250	\$25,850
Windsor	\$15,200	\$17,400	\$19,550	\$21,700	\$23,450	\$25,200	\$26,950	\$28,650

APPENDIX D. Best Practices in Rapid Re-Housing

Published by the National Alliance to End Homelessness

<http://www.endhomelessness.org/library/entry/necessary-activities-of-best-practice-rapid-re-housing-programs-handout>

Best practice rapid re-housing programs provide four necessary activities as follows:

Landlord Outreach. A best practice rapid re-housing program must have—either on staff or through a formal relationship with an organization—staff who recruit landlords and encourage them to rent to homeless households. The landlord outreach function should result in landlords reducing their barriers to homeless households accessing rental units. Organizations should be able to identify specific landlords that they have recruited into the program.

Financial Assistance. A best practice rapid re-housing program must provide—either directly or through formal agreement with another organization or agency— financial assistance for permanent housing costs, which may include rental deposits, first month's rent, last month's rent, or temporary rental assistance. Financial assistance must not be contingent upon service compliance, but rather lease compliance.

Case Management. A best practice rapid re-housing program must be able to provide home based case management services – either directly or through a formal agreement with another organization or agency - that link program participants with services in the community, such as child care, employment, education, and other services and intervene in conflicts between the landlord and program participant.

Assessment of Housing Barriers. A best practice rapid re-housing program must assess the housing barriers of potential program participants with a focus on the immediate, practical barriers to moving into housing. The housing barrier assessment should be used to help program participants move into housing. The housing barrier assessment must not be a sustainability assessment.

APPENDIX E. VERMONT HOP STANDARDS OF PROVISION OF ASSISTANCE

State Fiscal Year 2017

A. Evaluation of individuals' and families' eligibility for assistance under the Housing Opportunity Grant Program (HOP).

The policies and procedures of providers funded under HOP shall be consistent with the definition of homeless in 24 CFR 576.2 (included as Appendix A) and the recordkeeping requirements in 24 CFR 576.500(b), (c), (d), and (e), specifically:

Program participant eligibility for Emergency Shelter is limited to families and individuals who meet the criteria under paragraph (1), (2), (3), or (4) of the HUD Definition of Homelessness (Appendix A).

Program participant eligibility for Rapid Re-Housing activity is limited to families and individuals who meet the criteria under paragraph (1) of the HUD Definition of Homelessness (Appendix A), or who meet the criteria under paragraph (4) and live in an emergency shelter or other place described in paragraph (1) of the definition.

Program participant eligibility for Prevention activity is limited to families and individuals who meet the criteria under "at risk of homelessness definition (Appendix B) or who meet the criteria in paragraph (2), (3), or (4) of the HUD Definition of Homelessness (Appendix A) and have an annual income below 30 percent of median family income, as determined by HUD. Up to 10% of a grantee's homelessness prevention assistance may be provided to households with income up to 50 percent median family income.

B. Admission, diversion, referral and discharge by emergency shelters and transitional housing programs.

Emergency Shelter and Transitional Housing Providers are required to provide written shelter standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, e.g., victims of domestic violence/sexual assault; and families who have the highest barriers to housing and are likely to be homeless the longest. Applicants must attach written standards that include policies and procedures that address shelter admission, diversion, referral and discharge. This includes policies related to involuntary and voluntary discharge, which will be reviewed by the Office of Economic Opportunity to ensure compliance with federal regulation standards.

If the shelter provides services to families with children under 18; the age of the child may not be used as a basis for denying family's admission.

C. Assessing, prioritizing, and reassessing individuals' and families' needs for essential services related to emergency shelter.

Providers funded under the Emergency Shelter activity are required to have written policies and procedures regarding how residents' needs for essential services are determined and prioritized. All Emergency Shelter applicants must describe their standards in their application for funding.

- D. Determining and prioritizing which eligible families and individuals will receive homelessness prevention and rapid re-housing assistance; Determining what percentage, or amount, of rent and utilities costs each program participant must pay, if any, while receiving homelessness prevention or rapid re-housing assistance; AND Determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time.***

Homelessness Prevention & Rapid Re-Housing:

To provide effective Homelessness Prevention services and assistance, priority will be given to those households for whom it can be determined they would become homeless but for this assistance, such as households seeking emergency shelter.

To provide effective Rapid Re-housing services and assistance to as many homeless families as possible, including those with multiple housing barriers, priority will be given to those persons for whom it can be determined they would likely remain homeless but for this assistance.

Among eligible participants, Vermont has not chosen to prioritize sub-populations.

Non-Profit grantees providing such assistance must document and maintain household income information at the time of assistance. Eligibility and types/amounts of assistance must be re-evaluated not less than once annually for rapid re-housing assistance. Each re-evaluation must establish and document 1) that the participant does not have an annual income that exceeds 30% of median family income; and 2) the participant lacks sufficient resources and support networks necessary to retain housing without HOP assistance.

While the ability to sustain housing is a HOP program goal and performance measure, it will not be interpreted as a threshold requirement. Prioritization and determination of assistance should be based on household need at the time of initial intake and screening.

No financial assistance may be provided to a household for a purpose and time period supported by another public source.

Applicants must attach written standards for the following:

- 1) Determining and prioritizing which eligible families and individuals will receive homelessness prevention and rapid re-housing assistance;***
- 2) Determining what percentage, or amount, of rent and utilities costs each program participant must pay, if any, while receiving prevention or rapid re-housing assistance;***
- 3) Determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time.***

Written standards may be developed in partnership with the local interagency or housing review team. Written standards must be applied consistently within the program and must conform to policies and procedures established under the Coordinated Entry System of the Continuum of Care, once implemented locally.

Grantees may to modify their level of assistance below the maximums provided in this document based on availability of HOP funds, or ability to leverage other state, federal or private assistance funding for clients.

Short-term rental assistance provided will be in the form of tenant-based rental assistance for up to three months. Medium-term rental assistance provided will be in the form of tenant-based rental assistance for more than three months and up to twenty-four months.

In the case of medium-term rental assistance, grantees are strongly encouraged to require participants to contribute a minimum of 30% of their household income towards housing costs.

- E. Determining the type, amount, and duration of housing stabilization and/or relocation services to provide a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participant receives assistance, or the maximum number of times the program participant may receive assistance.***

No grantee may, with respect to individuals or families occupying housing owned by the grantee or parent organization, determine eligibility, carryout assessment activities, or administer homelessness prevention assistance.

Housing Stability Case Management

While providing homelessness prevention or rapid re-housing assistance, a participant must:

- Meet with a case manager not less than once per month to assist the participant in ensuring long-term housing stability;
- Develop a plan to assist the participant in retaining permanent housing after HOP assistance ends, taking into account participant's current and expected household budget, additional sources of assistance, and affordability of area housing.
- Programs are exempt from this case management requirement if prohibited under the federal Violence Against Women Act (VAWA) or Family Violence Prevention and Services Act from making shelter or housing conditional on the participant's acceptance of services.

Permitted Uses & Maximum Limits of HOP Financial Assistance & Rental Assistance:

- Payments for security deposits through HOP funds may not exceed the value of 2 months' rent.
- Moving costs, including truck rental.
- Utility deposits (standard deposits required by utility companies) and payments for arrears up to 3 months, unless available from another source. Eligible utility services are gas, fuel oil, water, sewage and electric.
- Excluding rental assistance, no participant may receive more than 9 months of HOP financial assistance in a 3-year period.
- Payments for rental arrears through HOP as a one-time payment may not exceed the value of 3 months' rent.

- Short-term tenant-based rental assistance for up to three months.
- Medium-term tenant-based rental assistance for more than three and up to twenty-four months.

Limitations to All HOP Financial Assistance & Rental Assistance:

- A written lease must be in place, and the applicant's name must be on the lease, before rental assistance or security deposits are made.
- Rental assistance cannot be provided if rent exceeds the Fair Market Rent established by HUD or does not meet the standard for rent reasonableness (24 CFR 982.507). This policy does not apply to rental arrears. Additional guidance is provided under separate memorandum.
- All payments must be third-party vendor payments; payments may not be made to relatives who are landlords.
- Payments are to be made on behalf of renters only; homeowners are not eligible for HOP assistance.
- No financial assistance may be provided to a household for a purpose and time period supported by another public source.
- Only in cases of rental assistance, the grantee will enter into a rental assistance agreement with the landlord. Landlords must agree to copy the provider on any eviction notice or complaint used to commence eviction; the provider must make timely payments to the owner according to the participant lease agreement.
- All rental assistance is tenant-based, the participant selects their own housing unit and may move to another unit or building and continue assistance so long as other requirements and eligibility are met.

Additional Requirements when Financial Assistance or Rental Assistance is used to help a participant move into a unit (i.e., not required for Homelessness Prevention assistance that helps a participant to remain in their current housing):

- 6) All housing must meet HUD habitability standards. When rental assistance under this program is greater than 3 months, housing must meet the AHS Housing Inspection (which includes the HUD ESG habitability standards) conducted by the Vermont State Housing Authority. In all other cases, grantees are not required to use the AHS Housing Inspection conducted by the Vermont State Housing Authority, but may do so if they choose. Unlike HQS inspections, a certified inspector is not needed to conduct HOP habitability inspections. Units assisted may be inspected by program staff, or staff hired by the agency. Additional checklist and guidance is provided under a separate memorandum.
- 7) All housing constructed prior to 1978 must meet lead paint requirements. Additional guidance is provided under a separate memorandum.

F. Case Management Guidance:

Grantees using HOP funding to provide Case Management activities must understand and agree to the following special guidance.

Clarifying Intake/Screening, Search & Placement, and Housing Stability Case Management

While acknowledging that case management should remain flexible to best serve the individual needs of households, the following defines basic expectations as to what is provided. This is preceded by a definition of Intake/Screening, another essential function for programs serving the homeless, and a description of Housing Search & Placement.

Intake/Screening: *To provide coordination at the program or community level; and direct financial assistance where appropriate.*

- Record basic household information to determine immediate need, and eligibility for other assistance.
- Assess if a household's needs can be met with financial assistance alone (such as back rent, security deposit), or if more intensive supports are required.
- Provide financial assistance where appropriate.
- Determine what initial referral may be appropriate (case management, shelter, etc.).
- Follow-up on initial referral to prevent a household from "falling through the cracks."

Housing Search & Placement: *To provide logistical support and housing counseling to households preparing to move into permanent housing.*

- Assess housing barriers, needs and preferences.
- Develop of an action plan for locating housing.
- Support housing search.
- Provide outreach and negotiation with landlords.
- Assist with rental applications and understanding leases.
- Assess housing habitability and rent reasonableness.
- Assist with obtaining utilities and making moving arrangements.
- Provide tenant counseling on rights and responsibilities.

Housing Case Management: *To provide coordination for the household; to provide more intensive interaction and services for clients deemed unlikely to resolve their housing crisis with short-term financial assistance alone.*

- Work closely with the household to acquire and maintain stable housing which is affordable to them.
- Determine (in consultation with household and other community partners, if applicable) who shall be the lead case manager for the household.
- Work with participants to develop a housing and service plan (including a path to permanent housing), set goals, and help participants stay on course.
- Provide ongoing risk assessment and safety planning with victims fleeing violence or make appropriate referral.

- Employ best practices to help the household identify its strengths and opportunities, as well as underlying issues which may have led to homelessness, or could undermine success if not addressed.
- Provide information, referrals and encouragement for the household (or members of the household) to avail themselves of other appropriate services or take appropriate action to address barriers.
- Assist with developing, securing and coordinating services and obtaining benefits.
- Monitor and evaluate client progress.
- Maintain a relationship with household, identifying the appropriate level of support without creating over-dependence. This includes providing post-lease, follow-up case management for higher-risk families after they have moved into permanent housing.

G. Other Guidance and restrictions on use of HOP funds:

Additional guidance on eligible and ineligible uses of HOP funds are contained in the Notice of Funding, grant agreements and guidance issued by the Office of Economic Opportunity. Grantees are encouraged to contact the Office of Economic Opportunity at (802) 798-2251 for clarification on any HOP requirements or standards.

APPENDIX F. CERTIFICATION OF LOCAL GOVERNMENT APPROVAL

CERTIFICATION OF LOCAL GOVERNMENT APPROVAL

FOR NONPROFIT ORGANIZATIONS

RECEIVING HOUSING OPPORTUNITY GRANT PROGRAM FUNDS FROM STATE OF VERMONT

I, _____ (*name and title*) duly authorized to act
on behalf of the _____ (*name of jurisdiction*) hereby approve the
following project(s) proposed by _____ (*name of nonprofit*) which is
(are) to be located in _____ (*name(s) of jurisdiction(s)*):

By: _____
Signature and Date

Typed Name of Signatory Local Official

Title

APPENDIX G. PROGRAMMATIC ASSURANCES HOUSING OPPORTUNITY GRANT PROGRAM (HOP)

(Include as a signed page with submission)

Affirmative Outreach: The grantee will make known that use of the facilities, assistance, and services are available to all on a nondiscriminatory basis. If it is unlikely that the procedures that the grantee intends to use to make known the availability of the facilities, assistance, and services will reach persons of any particular race, color, religion, sex, age, national origin, familial status, or disability who may qualify for those facilities and services, the grantee will take additional steps to ensure that those persons are made aware of the facilities, assistance, and services. The grantee will also take appropriate steps to ensure effective communication with persons with disabilities to ensure that interested persons receive information concerning the location of assistance, services, and facilities that are accessible to persons with disabilities. The grantee will also take reasonable steps to ensure meaningful access to programs and activities for limited English proficiency (LEP) persons;

Availability of Shelter: If HOP funds are used for emergency shelter, the grantee will provide services or shelter to homeless individuals and families for the period during which the HOP assistance is provided, without regard to a particular site or structure, so long as the applicant serves the same type of persons (*e.g.*, families with children, unaccompanied youth, veterans, disabled individuals, or victims of domestic violence) or persons in the same geographic area;

Permanent Housing & Support Services: The grantee will assist homeless individuals in obtaining permanent housing, appropriate supportive services (including medical care, mental health and substance abuse treatment, counseling, supervision, and other services essential for achieving independent living), and other Federal, State, local, and private assistance available for such individuals;

Homeless Participation: To the maximum extent practicable, the grantee will involve, through employment, volunteer services, or otherwise, homeless individuals and families in maintaining and operating facilities assisted under HOP, in providing services assisted under HOP, and in providing services for occupants of facilities assisted under HOP;

Confidentiality: The grantee will implement written procedures to ensure that:

- (i) All records containing personally identifying information of any individual or family who applies for and/or receives assistance funded by HOP will be kept secure and confidential;
- (ii) The address or location of any domestic violence, dating violence, sexual assault, or stalking shelter project assisted under HOP will not be made public, except with written authorization of the person responsible for the operation of the shelter; and
- (iii) The address or location of any housing of a program participant will not be made public, except as provided under a preexisting privacy policy of the grantee and consistent with state and local laws regarding privacy and obligations of confidentiality.

Signature, Executive Director

Date

Printed Name

APPENDIX H. RECORDKEEPING REQUIREMENTS
Vermont Office of Economic Opportunity (OEO)
Published 6/25/2013, Updated 4/6/2015

All HOP grantees must have written policies and procedures in place to ensure requirements are met.

1. Homeless or At-Risk of Homelessness Status:

- Must maintain and follow written intake procedures.
- Documentation of Eligibility – Housing Status. See definitions of Homeless and At-Risk of Homeless for specific guidance on eligibility requirements. Documentation includes: third party verification; intake worker observation/certification; or self-certification. OEO may issue additional guidance on documentation of eligibility.
- For Rapid Re-Housing and Homelessness Prevention require:
 - Initial evaluation determining participant status and income.
 - For ongoing assistance (services, financial assistance &/or rental assistance), re-evaluation of eligibility to establish and document:
 - The program participant does not have an annual income that exceeds 30% of median family income for the area.
 - The program participant lacks sufficient resources and support networks necessary to retain housing without HOP assistance.
 - Frequency:
 - Rapid Re-Housing – not less than once annually.
 - Prevention – not less than once every 3 months.

2. Documentation of Services and Assistance Provided to the Participant:

- Records may be kept in written case files and/or HMIS or comparable management information system (as noted in grant agreement) are acceptable as long as they note when the person entered the data, date of entry and any changes made.
- Documentation must include compliance with requirements for providing services and assistance, including:
 - Rental Assistance agreements and payments
 - Habitability checks on assisted units
 - Fair Market Rent & Rent Reasonableness compliance
- Documentation must include compliance with policies and procedures regarding termination of services or shelter.

3. Additional Documentation Includes:

- Emergency Shelter records.
- Coordination with the continuum of care and other programs.
- Conflict of Interest policy, which includes personnel.
- Financial records – showing how HOP grant funds were spent on allowable costs in accordance with grant agreements.
- Confidentiality (written procedures) to ensure records are kept secure and confidential, including that participant housing addresses are not made public.

4. Period of Record Retention:

- All records must be retained for 5 years after all funds are expended.

ATTACHMENT C: STANDARD STATE PROVISIONS

For Contracts and Grants

1. **Entire Agreement:** This Agreement, whether in the form of a Contract, State Funded Grant, or Federally Funded Grant, represents the entire agreement between the parties on the subject matter. All prior agreements, representations, statements, negotiations, and understandings shall have no effect.
2. **Applicable Law:** This Agreement will be governed by the laws of the State of Vermont.
3. **Definitions:** For purposes of this Attachment, "Party" shall mean the Contractor, Grantee or Subrecipient, with whom the State of Vermont is executing this Agreement and consistent with the form of the Agreement.
4. **Appropriations:** If this Agreement extends into more than one fiscal year of the State (July 1 to June 30), and if appropriations are insufficient to support this Agreement, the State may cancel at the end of the fiscal year, or otherwise upon the expiration of existing appropriation authority. In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, and in the event federal funds become unavailable or reduced, the State may suspend or cancel this Grant immediately, and the State shall have no obligation to pay Subrecipient from State revenues.
5. **No Employee Benefits For Party:** The Party understands that the State will not provide any individual retirement benefits, group life insurance, group health and dental insurance, vacation or sick leave, workers compensation or other benefits or services available to State employees, nor will the state withhold any state or federal taxes except as required under applicable tax laws, which shall be determined in advance of execution of the Agreement. The Party understands that all tax returns required by the Internal Revenue Code and the State of Vermont, including but not limited to income, withholding, sales and use, and rooms and meals, must be filed by the Party, and information as to Agreement income will be provided by the State of Vermont to the Internal Revenue Service and the Vermont Department of Taxes.
6. **Independence, Liability:** The Party will act in an independent capacity and not as officers or employees of the State.

The Party shall defend the State and its officers and employees against all claims or suits arising in whole or in part from any act or omission of the Party or of any agent of the Party. The State shall notify the Party in the event of any such claim or suit, and the Party shall immediately retain counsel and otherwise provide a complete defense against the entire claim or suit.

After a final judgment or settlement the Party may request recoupment of specific defense costs and may file suit in Washington Superior Court requesting recoupment. The Party shall be entitled to recoup costs only upon a showing that such costs were entirely unrelated to the defense of any claim arising from an act or omission of the Party.

The Party shall indemnify the State and its officers and employees in the event that the State, its officers or employees become legally obligated to pay any damages or losses arising from any act or omission of the Party.

7. **Insurance:** Before commencing work on this Agreement the Party must provide certificates of insurance to show that the following minimum coverages are in effect. It is the responsibility of the Party to maintain current certificates of insurance on file with the state through the term of the Agreement. No warranty is made that the coverages and limits listed herein are adequate to cover and protect the interests of the Party for the Party's operations. These are solely minimums that have been established to protect the interests of the State.

Workers Compensation: With respect to all operations performed, the Party shall carry workers' compensation insurance in accordance with the laws of the State of Vermont.

General Liability and Property Damage: With respect to all operations performed under the contract, the Party shall carry general liability insurance having all major divisions of coverage including, but not limited to:

Premises - Operations

Products and Completed Operations

Personal Injury Liability

Contractual Liability

The policy shall be on an occurrence form and limits shall not be less than:

\$1,000,000 Per Occurrence

\$1,000,000 General Aggregate

\$1,000,000 Products/Completed Operations Aggregate

\$ 50,000 Fire/ Legal/Liability

Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

Automotive Liability: The Party shall carry automotive liability insurance covering all motor vehicles, including hired and non-owned coverage, used in connection with the Agreement. Limits of coverage shall not be less than: \$1,000,000 combined single limit.

Party shall name the State of Vermont and its officers and employees as additional insureds for liability arising out of this Agreement.

Professional Liability: Before commencing work on this Agreement and throughout the term of this Agreement, the Party shall procure and maintain professional liability insurance for any and all services performed under this Agreement, with minimum coverage of \$_____n/a_____ per occurrence, and \$_____n/a_____ aggregate.

- 8. Reliance by the State on Representations:** All payments by the State under this Agreement will be made in reliance upon the accuracy of all prior representations by the Party, including but not limited to bills, invoices, progress reports and other proofs of work.
- 9. Requirement to Have a Single Audit:** In the case that this Agreement is a Grant that is funded in whole or in part by federal funds, the Subrecipient will complete the Subrecipient Annual Report annually within 45 days after its fiscal year end, informing the State of Vermont whether or not a Single Audit is required for the prior fiscal year. If a Single Audit is required, the Subrecipient will submit a copy of the audit report to the granting Party within 9 months. If a single audit is not required, only the Subrecipient Annual Report is required.

For fiscal years ending before December 25, 2015, a Single Audit is required if the subrecipient expends \$500,000 or more in federal assistance during its fiscal year and must be conducted in accordance with OMB Circular A-133. For fiscal years ending on or after December 25, 2015, a Single Audit is required if the subrecipient expends \$750,000 or more in federal assistance during its fiscal year and must be conducted in accordance with 2 CFR Chapter I, Chapter II, Part 200, Subpart F. The Subrecipient Annual Report is required to be submitted within 45 days, whether or not a Single Audit is required.

- 10. Records Available for Audit:** The Party shall maintain all records pertaining to performance under this agreement. "Records" means any written or recorded information, regardless of physical form or characteristics, which is produced or acquired by the Party in the performance of this agreement. Records produced or acquired in a machine readable electronic format shall be maintained in that format. The records described shall be made available at reasonable times during the period of the Agreement and for three years thereafter or for any period required by law for inspection by any authorized representatives of the State or Federal Government. If any litigation, claim, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
- 11. Fair Employment Practices and Americans with Disabilities Act:** Party agrees to comply with the requirement of Title 21V.S.A. Chapter 5, Subchapter 6, relating to fair employment practices, to the full extent applicable. Party shall also ensure, to the full extent required by the Americans with Disabilities Act of 1990, as amended, that qualified individuals with disabilities receive equitable access to the services, programs, and activities provided by the Party under this Agreement. Party further agrees to include this provision in all subcontracts.
- 12. Set Off:** The State may set off any sums which the Party owes the State against any sums due the Party under this Agreement; provided, however, that any set off of amounts due the State of Vermont as taxes shall be in accordance with the procedures more specifically provided hereinafter.
- 13. Taxes Due to the State:**
- Party understands and acknowledges responsibility, if applicable, for compliance with State tax laws, including income tax withholding for employees performing services within the State, payment of use tax on property used within the State, corporate and/or personal income tax on income earned within the State.
 - Party certifies under the pains and penalties of perjury that, as of the date the Agreement is signed, the Party is in good standing with respect to, or in full compliance with, a plan to pay any and all taxes due the State of Vermont.

- c. Party understands that final payment under this Agreement may be withheld if the Commissioner of Taxes determines that the Party is not in good standing with respect to or in full compliance with a plan to pay any and all taxes due to the State of Vermont.
- d. Party also understands the State may set off taxes (and related penalties, interest and fees) due to the State of Vermont, but only if the Party has failed to make an appeal within the time allowed by law, or an appeal has been taken and finally determined and the Party has no further legal recourse to contest the amounts due.

14. Child Support: (Applicable if the Party is a natural person, not a corporation or partnership.) Party states that, as of the date the Agreement is signed, he/she:

- a. is not under any obligation to pay child support; or
- b. is under such an obligation and is in good standing with respect to that obligation; or
- c. has agreed to a payment plan with the Vermont Office of Child Support Services and is in full compliance with that plan.

Party makes this statement with regard to support owed to any and all children residing in Vermont. In addition, if the Party is a resident of Vermont, Party makes this statement with regard to support owed to any and all children residing in any other state or territory of the United States.

15. Sub-Agreements: Party shall not assign, subcontract or subgrant the performance of this Agreement or any portion thereof to any other Party without the prior written approval of the State. Party also agrees to include in all subcontract or subgrant agreements a tax certification in accordance with paragraph 13 above.

16. No Gifts or Gratuities: Party shall not give title or possession of any thing of substantial value (including property, currency, travel and/or education programs) to any officer or employee of the State during the term of this Agreement.

17. Copies: All written reports prepared under this Agreement will be printed using both sides of the paper.

18. Certification Regarding Debarment: Party certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, neither Party nor Party's principals (officers, directors, owners, or partners) are presently debarred, suspended, proposed for debarment, declared ineligible or excluded from participation in federal programs, or programs supported in whole or in part by federal funds.

Party further certifies under pains and penalties of perjury that, as of the date that this Agreement is signed, Party is not presently debarred, suspended, nor named on the State's debarment list at:

<http://bgs.vermont.gov/purchasing/debarment>

19. Certification Regarding Use of State Funds: In the case that Party is an employer and this Agreement is a State Funded Grant in excess of \$1,001, Party certifies that none of these State funds will be used to interfere with or restrain the exercise of Party's employee's rights with respect to unionization.

20. Internal Controls: In the case that this Agreement is an award that is funded in whole or in part by Federal funds, in accordance with 2 CFR Part II, §200.303, the Party must establish and maintain effective internal control over the Federal award to provide reasonable assurance that the Party is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. These internal controls should be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States and the "Internal Control Integrated Framework", issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

21. Mandatory Disclosures: In the case that this Agreement is an award funded in whole or in part by Federal funds, in accordance with 2CFR Part II, §200.113, Party must disclose, in a timely manner, in writing to the State, all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures may result in the imposition of sanctions which may include disallowance of costs incurred, withholding of payments, termination of the Agreement, suspension/debarment, etc.

22. Conflict of Interest: Party must disclose in writing any potential conflict of interest in accordance with Uniform Guidance §200.112, Bulletin 5 Section X and Bulletin 3.5 Section IV.B.

Attachment F

Agency of Human Services' Customary Contract Provisions

1. **Agency of Human Services – Field Services Directors** will share oversight with the department (or field office) that is a party to the grant for provider performance using outcomes, processes, terms and conditions agreed to under this grant.
2. **2-1-1 Data Base:** The Grantee providing a health or human services within Vermont, or near the border that is readily accessible to residents of Vermont, will provide relevant descriptive information regarding its agency, programs and/or contact and will adhere to the "Inclusion/Exclusion" policy of Vermont's United Way/Vermont 211. If included, the Grantee will provide accurate and up to date information to their data base as needed. The "Inclusion/Exclusion" policy can be found at www.vermont211.org
3. **Medicaid Program Grantees:**

Inspection of Records: Any grants accessing payments for services through the Global Commitment to Health Waiver and Vermont Medicaid program must fulfill state and federal legal requirements to enable the Agency of Human Services (AHS), the United States Department of Health and Human Services (DHHS) and the Government Accounting Office (GAO) to:

Evaluate through inspection or other means the quality, appropriateness, and timeliness of services performed; and
Inspect and audit any financial records of such Grantee or subgrantee.

Subcontracting for Medicaid Services: Having a subcontract does not terminate the Grantee, receiving funds under Vermont's Medicaid program, from its responsibility to ensure that all activities under this agreement are carried out. Subcontracts must specify the activities and reporting responsibilities of the Grantee or subgrantee and provide for revoking delegation or imposing other sanctions if the Grantee or subgrantee's performance is inadequate. The Grantee agrees to make available upon request to the Agency of Human Services; the Department of Vermont Health Access; the Department of Disabilities, Aging and Independent Living; and the Center for Medicare and Medicaid Services (CMS) all grants and subgrants between the Grantee and service providers.

Medicaid Notification of Termination Requirements: Any Grantee accessing payments for services under the Global Commitment to Health Waiver and Medicaid programs who terminates their practice will follow the Department of Vermont Health Access, Managed Care Organization enrollee notification requirements.

Encounter Data: Any Grantee accessing payments for services through the Global Commitment to Health Waiver and Vermont Medicaid programs must provide encounter data to the Agency of Human Services and/or its departments and ensure that it can be linked to enrollee eligibility files maintained by the State.

Federal Medicaid System Security Requirements Compliance: All Grantees and subcontractors must provide a security plan, risk assessment, and security controls review document within three months of the start date of this agreement (and update it annually thereafter) to support audit compliance with 45CFR95.621 subpart F, ADP (Automated Data Processing) *System Security Requirements and Review Process*.

4. **Non-discrimination Based on National Origin as evidenced by Limited English Proficiency.** The Grantee agrees to comply with the non-discrimination requirements of Title VI of the Civil Rights Act of 1964, 42 USC Section 2000d, et seq., and with the federal guidelines promulgated pursuant to Executive Order 13166 of 2000, which require that Grantees and subgrantees receiving federal funds must assure that persons with limited English proficiency can meaningfully access services. To the extent the Grantee provides assistance to individuals with limited English proficiency through the use of oral or written translation or interpretive services in compliance with this requirement, such individuals cannot be required to pay for such services.
5. **Voter Registration.** When designated by the Secretary of State, the Grantee agrees to become a voter registration agency as defined by 17 V.S.A. §2103 (41), and to comply with the requirements of state and federal law pertaining to such agencies.
6. **Drug Free Workplace Act.** The Grantee will assure a drug-free workplace in accordance with 45 CFR Part 76.
7. **Privacy and Security Standards.**

Protected Health Information: The Grantee shall maintain the privacy and security of all individually identifiable health information acquired by or provided to it as a part of the performance of this grant. The Grantee shall follow federal and state law relating to privacy and security of individually identifiable health information as applicable, including the Health Insurance Portability and Accountability Act (HIPAA) and its federal regulations.

Substance Abuse Treatment Information: The confidentiality of any alcohol and drug abuse treatment information acquired by or provided to the Grantee or subgrantee shall be maintained in compliance with any applicable state or federal laws or regulations and specifically set out in 42 CFR Part 2.

Other Confidential Consumer Information: The Grantee agrees to comply with the requirements of AHS Rule No. 08-048 concerning access to information. The Grantee agrees to comply with any applicable Vermont State Statute, including but not limited to 12 VSA §1612 and any applicable Board of Health confidentiality regulations. The Grantee shall ensure that all of its employees and subgrantees performing services under this agreement understand the sensitive nature of the information that they may have access to and sign an affirmation of understanding regarding the information's confidential and non-public nature.

Social Security numbers: The Grantee agrees to comply with all applicable Vermont State Statutes to assure protection and security of personal information, including protection from identity theft as outlined in Title 9, Vermont Statutes Annotated, Ch. 62.

8. **Abuse Registry.** The Grantee agrees not to employ any individual, use any volunteer, or otherwise provide reimbursement to any individual in the performance of services connected with this agreement, who provides care, custody, treatment, transportation, or supervision to children or vulnerable adults if there is a substantiation of abuse or neglect or exploitation against that individual. The Grantee will check the Adult Abuse Registry in the Department of Disabilities, Aging and Independent Living. Unless the Grantee holds a valid child care license or registration from the Division of Child Development, Department for Children and Families, the Grantee shall also check the central Child Protection Registry. (See 33 V.S.A. §4919(a)(3) & 33 V.S.A. §6911(c)(3)).
9. **Reporting of Abuse, Neglect, or Exploitation.** Consistent with provisions of 33 V.S.A. §4913(a) and §6903, any agent or employee of a Grantee who, in the performance of services connected with this agreement, has contact with clients or is a caregiver and who has reasonable cause to believe that a child or vulnerable adult has been abused or neglected as defined in Chapter 49 or abused, neglected, or exploited as defined in Chapter 69 of Title 33 V.S.A. shall make a report involving children to the Commissioner of the Department for Children and Families within 24 hours or a report involving vulnerable adults to the Division of Licensing and Protection at the Department of Disabilities, Aging, and Independent Living within 48 hours. This requirement applies except in those instances where particular roles and functions are exempt from reporting under state and federal law. Reports involving children shall contain the information required by 33 V.S.A. §4914. Reports involving vulnerable adults shall contain the information required by 33 V.S.A. §6904. The Grantee will ensure that its agents or employees receive training on the reporting of abuse or neglect to children and abuse, neglect or exploitation of vulnerable adults.
10. **Intellectual Property/Work Product Ownership.** All data, technical information, materials first gathered, originated, developed, prepared, or obtained as a condition of this agreement and used in the performance of this agreement - including, but not limited to all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video or audio), pictures, drawings, analyses, graphic representations, software computer programs and accompanying documentation and printouts, notes and memoranda, written procedures and documents, which are prepared for or obtained specifically for this agreement - or are a result of the services required under this grant - shall be considered "work for hire" and remain the property of the State of Vermont, regardless of the state of completion - unless otherwise specified in this agreement. Such items shall be delivered to the State of Vermont upon 30 days notice by the State. With respect to software computer programs and / or source codes first developed for the State, all the work shall be considered "work for hire," i.e., the State, not the Grantee or subgrantee, shall have full and complete ownership of all software computer programs, documentation and/or source codes developed.

The Grantee shall not sell or copyright a work product or item produced under this agreement without explicit permission from the State.

If the Grantee is operating a system or application on behalf of the State of Vermont, then the Grantee shall not make information entered into the system or application available for uses by any other party than the State of Vermont, without prior authorization by the State. Nothing herein shall entitle the State to pre-existing Grantee's materials.

11. **Security and Data Transfers.** The State shall work with the Grantee to ensure compliance with all applicable State and Agency of Human Services' policies and standards, especially those related to privacy and security. The State will advise the Grantee of any new policies, procedures, or protocols developed during the term of this agreement as they are issued and will work with the Grantee to implement any required.

The Grantee will ensure the physical and data security associated with computer equipment - including desktops, notebooks, and other portable devices - used in connection with this agreement. The Grantee will also assure that any media or mechanism used to store or transfer data to or from the State includes industry standard security mechanisms

such as continually up-to-date malware protection and encryption. The Grantee will make every reasonable effort to ensure media or data files transferred to the State are virus and spyware free. At the conclusion of this agreement and after successful delivery of the data to the State, the Grantee shall securely delete data (including archival backups) from the Grantee's equipment that contains individually identifiable records, in accordance with standards adopted by the Agency of Human Services.

12. **Computing and Communication:** The Grantee shall select, in consultation with the Agency of Human Services' Information Technology unit, one of the approved methods for secure access to the State's systems and data, if required. Approved methods are based on the type of work performed by the Grantee as part of this agreement. Options include, but are not limited to:
1. Grantee's provision of certified computing equipment, peripherals and mobile devices, on a separate Grantee's network with separate internet access. The Agency of Human Services' accounts may or may not be provided.
 2. State supplied and managed equipment and accounts to access state applications and data, including State issued active directory accounts and application specific accounts, which follow the National Institutes of Standards and Technology (NIST) security and the Health Insurance Portability & Accountability Act (HIPAA) standards.

The State will not supply e-mail accounts to the Grantee.

13. **Lobbying.** No federal funds under this agreement may be used to influence or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, continuation, renewal, amendments other than federal appropriated funds.
14. **Non-discrimination.** The Grantee will prohibit discrimination on the basis of age under the Age Discrimination Act of 1975, on the basis of handicap under section 504 of the Rehabilitation Act of 1973, on the basis of sex under Title IX of the Education Amendments of 1972, or on the basis of race, color or national origin under Title VI of the Civil Rights Act of 1964. No person shall on the grounds of sex (including, in the case of a woman, on the grounds that the woman is pregnant) or on the grounds of religion, be excluded from participation in, be denied the benefits of, or be subjected to discrimination, to include sexual harassment, under any program or activity supported by state and/or federal funds.
- The grantee will also not refuse, withhold from or deny to any person the benefit of services, facilities, goods, privileges, advantages, or benefits of public accommodation on the basis of disability, race, creed, color, national origin, marital status, sex, sexual orientation or gender identity under Title 9 V.S.A. Chapter 139.
15. **Environmental Tobacco Smoke.** Public Law 103-227, also known as the Pro-children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, child care, early childhood development services, education or library services to children under the age of 18, if the services are funded by federal programs either directly or through state or local governments, by federal grant, contract, loan or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds.

The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where Women, Infants, & Children (WIC) coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

Grantees are prohibited from promoting the use of tobacco products for all clients. Facilities supported by state and federal funds are prohibited from making tobacco products available to minors.